



DEPARTMENT OF HEALTH AND HUMAN SERVICES

**HHS EMPLOYEE PERFORMANCE APPRAISAL PLAN**

(See HHS-704A, "Performance Management Appraisal Program", for additional information.)

EMPLOYEE'S NAME (Last, First, MI)		APPRAISAL PERIOD From: _____ To: _____
ORGANIZATION	POSITION TITLE, SERIES, AND GRADE	

**I. PERFORMANCE PLAN DEVELOPMENT, MONITORING AND APPRAISAL**

**A. Performance Plan Development - Establishes Annual Performance Expectations**

[NOTE: The employee's signature does not indicate agreement; only that the plan has been communicated.]

RATING OFFICIAL'S SIGNATURE	DATE
REVIEWING OFFICIAL'S SIGNATURE (If required by OPDIV Head)	DATE
EMPLOYEE'S SIGNATURE	DATE

**B. Progress Review - Written narrative required if performance on any element is less than Fully Successful.**

RATING OFFICIAL'S SIGNATURE	DATE
EMPLOYEE'S SIGNATURE	DATE

**C. Summary Rating - Section II, Critical Elements, must be completed in order to generate this Summary Rating.**

[NOTE: The employee's signature does not indicate agreement; only that the rating has been communicated.]

☒ **Exceptional**      ☐ **Fully Successful**      ☐ **Minimally Successful**      ☐ **Unacceptable**

RATING OFFICIAL'S SIGNATURE	DATE
REVIEWING OFFICIAL'S SIGNATURE (If required by OPDIV Head) (Required if rating is Unacceptable)	DATE
EMPLOYEE'S SIGNATURE	DATE

**HHS EMPLOYEE PERFORMANCE PLAN** *(continued)*EMPLOYEE'S NAME *(Last, First, MI)*

APPRAISAL PERIOD

From:

To:

**II. CRITICAL ELEMENTS****The following guidance will be followed in determining an overall summary rating:**

A rating will be assigned to each critical element (Administrative Requirements (Part A. of this Section) and the individual critical elements under the Individual Performance Outcomes (Part B. of this Section)). This rating will be based upon the extent to which the employee's performance met one of the "Performance Standards" defined in Section V. (Exceptional, Fully Successful, Minimally Successful, and Unacceptable).

**The rating level definitions will be assigned a numerical score as follows:**

Exceptional (E): 5 points, Fully Successful (FS): 3 points, Minimally Successful (MS): 2 points, Unacceptable (U): 1 point

**NOTE:** Performance plans must include one or more outcomes\* *that include or track back to the "One HHS" Program and Management Objectives*. This cascading approach should ensure that performance plans for all employees support the organizational goals of the agency. Any "cascade" element should be identified in the following way under the appropriate outcome in the performance plan: *"This element also relates to and supports objectives in the "One HHS" Program and Management Objectives, specifically [cite the specific objective]."*

\*The outcomes may be **Administrative Requirements** and/or **Individual Performance**, but at least one outcome must include or track back to the "One HHS" Program and Management Objectives.

**A. ADMINISTRATIVE REQUIREMENTS - CRITICAL ELEMENT**

**NOTE:** The supervisor should determine, by marking the appropriate box(es), which aspects of this critical element apply to the employee's job duties and responsibilities.

**For Managers/Supervisors & Team Leaders\*\***

- ☐ Leads in a proactive, customer-responsive manner consistent with OPDIV/STAFFDIV vision and values: ascertains customer needs/requirements; solicits feedback; and makes appropriate adjustments.
- ☐ Communicates program and management goals to staff; identifies targeted results/outcomes, and timeframes. Allocates and adjusts resources in response to workload and priority changes.
- ☐ Plans, organizes, and assigns unit work.
- ☐ Establishes employee performance plans, and completes required reviews and final ratings.
- ☐ Appropriately recognizes and rewards employee performance.
- ☐ Assesses employees' individual developmental needs, and provides developmental opportunities to staff.
- ☐ Ensures employee awareness of, and compliance with, requirements relative to ethics, financial disclosure, avoiding conflicts of interest, standards of ethical conduct, political activity, and procurement integrity.
- ☐ Demonstrates support for EEO/diversity and employee worklife quality and fosters a cooperative work environment where diverse opinions are solicited and respected.
- ☐ Participates in updating and implementing succession plans for current and future staffing needs.
- ☐ Seeks resolution of workplace conflicts at earliest stage.
- ☐ Conducts program assessments and evaluations to ensure objectives were met.
- ☐ Where applicable, ensures that HHS, OPDIV, and program goals and requirements for correcting grant, procurement, and finance system weaknesses are achieved or exceeded.
- ☐ Other aspects *(describe)*:

\*\*To be applied only to Team Leaders who have official position descriptions identifying them as team leaders.

*(Summary Rating Elements, continued)*

HHS EMPLOYEE PERFORMANCE PLAN (continued)

EMPLOYEE'S NAME (Last, First, MI)	APPRAISAL PERIOD From:   To:
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II. CRITICAL ELEMENTS (continued)

A. ADMINISTRATIVE REQUIREMENTS - CRITICAL ELEMENT (continued)

NOTE: The supervisor should determine, by marking the appropriate box(es), which aspects of this critical element apply to the employee's job duties and responsibilities.

For All Staff

- ☐ Provides responsive service to internal/external customers that support customer and program requirements.
- ☐ Participates with supervisor in establishing individual performance plans, and provides self-assessments if required.
- ☐ Demonstrates integrity and adheres to Government-wide and HHS Standards of Ethical Conduct, including but not limited to, avoiding conflicts of interest, participation in outside activities, political activity, financial disclosure, and use of government resources and equipment.
- ☐ Treats others with respect; fosters a cooperative environment where differences and similarities in opinions are encouraged and communicated.
- ☐ Identifies and communicates individual developmental needs consistent with the agency mission; assists coworkers by mentoring, advising, or guiding them in understanding work assignments as appropriate.
- ☐ Actively participates in identifying, communicating, and implementing quality improvements that ensure attainment of workforce goals.
- ☐ When applicable, identifies and addresses weaknesses in grant system(s), procurement systems, and finance offices to ensure recovery of improper payments and to reduce the number of improper payments made by the Department.
- ☐ Other aspects (describe):

ELEMENT	RATING
Administrative Requirements	<input type="checkbox"/> E(5) <input type="checkbox"/> FS(3) <input type="checkbox"/> MS(2) <input type="checkbox"/> U(1)

B. INDIVIDUAL PERFORMANCE OUTCOMES - CRITICAL ELEMENTS

Individual Performance Outcomes (List individual critical elements)

ELEMENT	RATING
1.	<input type="checkbox"/> E(5) <input type="checkbox"/> FS(3) <input type="checkbox"/> MS(2) <input type="checkbox"/> U(1)

NOTE: As per HHS Policy, the following element must track to the One HHS Program and Management Objectives.

Description:

(Summary Rating Elements, continued)

HHS EMPLOYEE PERFORMANCE PLAN (continued)

EMPLOYEE'S NAME (Last, First, MI)	APPRAISAL PERIOD From:   To:
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II. CRITICAL ELEMENTS (continued)

B. INDIVIDUAL PERFORMANCE OUTCOMES - CRITICAL ELEMENTS (continued)

Individual Performance Outcomes (List individual critical elements)

ELEMENT	RATING
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2.	<input type="checkbox"/> E(5) <input type="checkbox"/> FS(3) <input type="checkbox"/> MS(2) <input type="checkbox"/> U(1)
Description:	

3.	<input type="checkbox"/> E(5) <input type="checkbox"/> FS(3) <input type="checkbox"/> MS(2) <input type="checkbox"/> U(1)
Description:	

4.	<input type="checkbox"/> E(5) <input type="checkbox"/> FS(3) <input type="checkbox"/> MS(2) <input type="checkbox"/> U(1)
Description:	

(Summary Rating Elements, continued)

**HHS EMPLOYEE PERFORMANCE PLAN** *(continued)*EMPLOYEE'S NAME *(Last, First, MI)*

APPRAISAL PERIOD

From:

To:

**II. CRITICAL ELEMENTS** *(continued)***B. INDIVIDUAL PERFORMANCE OUTCOMES - CRITICAL ELEMENTS** *(continued)***Individual Performance Outcomes** *(List individual critical elements)*

ELEMENT	RATING
5.	<input type="checkbox"/> E(5) <input type="checkbox"/> FS(3) <input type="checkbox"/> MS(2) <input type="checkbox"/> U(1)

Description:

**III. CONVERSION OF ELEMENTS TO SUMMARY RATING**

After rating and assigning a score to each critical element, the rating official will total the points and divide by the number of critical elements, to arrive at an average score (up to one decimal place). This score will be converted to a summary rating based on the following point values:

**Total Point Value:** \_\_\_\_\_ **Divided by Number of Critical Elements:** \_\_\_\_\_ = **Average Score:** \_\_\_\_\_

Average Score will be calculated up to 1 decimal place. This numerical score will then be converted to a Summary Rating, as follows:

<b>Exceptional:</b>	4.4 to 5 points
<b>Fully Successful:</b>	3 to 4.3 points
<b>Minimally Successful:</b>	2 to 2.9 points
<b>Unacceptable:</b>	1 to 1.9 points

This Summary Rating will be recorded on **Page 1** of this form.

**Exceptions to the mathematical formula:**

- If an employee receives Minimally Successful on one or more critical elements, he/she cannot receive a summary rating of higher than Fully Successful, regardless of the average point score.
- A summary rating of Unacceptable must be assigned to any employee who is rated Unacceptable on any critical element.

**HHS EMPLOYEE PERFORMANCE PLAN** *(continued)*

EMPLOYEE'S NAME <i>(Last, First, MI)</i>	APPRAISAL PERIOD From:   To:
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**IV. WRITTEN NARRATIVE**

For progress review and/or summary rating. Optional, unless performance is below Fully Successful.

**V. PERFORMANCE STANDARDS**

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**Exceptional (E):**

The employee performed as a model of excellence by surpassing expectations. Indicators of performance at this level include outcomes that exceed Fully Successful level standards, for critical elements described in the annual performance plan, and as measured by appropriate assessment tools. Examples include:

- Innovations, improvements, and contributions to management, administrative, technical, or other functional areas that impact outside the work unit and facilitate organizational recognition;
- Increases in office and/or individual productivity;
- Improved customer, stakeholder, and/or employee satisfaction, resulting in positive evaluations, accolades, and recognition; methodology is modeled outside the organization. Flexibility and adaptability in responding to changing priorities, unanticipated resource shortages, or other obstacles;
- Initiation of significant collaborations, alliances, and coalitions;
- Leadership on workgroups or teams, such as those that design or influence improvements in program policies, processes, or other key activities;
- Anticipates the need for, and identifies, professional developmental activities that prepare staff and/or oneself to meet future workforce challenges; and/or
- Consistently demonstrates the highest level of ethics, integrity and accountability in achieving specific HHS, OPDIV, or programs goals; makes recommendations that foster clarification and/or influence improvements in ethics activities.

**Fully Successful (FS):**

The employee met all critical elements, as described in the annual performance plan, and as measured by appropriate assessment tools. Examples include:

- Planned, well-organized, and complete work assignments that reflect requirements;
- Decisions and actions that demonstrate organizational awareness including knowledge of mission, function, policies, technological systems, and culture;
- Independently follows-up on actions and improvements that impact the immediate work unit; establishes and maintains strong relationships with employees and/or clients; understands their priorities; balances their interests with organizational demands and requirements; effectively communicates necessary actions to them and employee/customer satisfaction is conveyed;
- When serving on teams and workgroups, contributions are substantive and completed according to standards;
- Resolution of operational challenges and problems without assistance from higher-level staff;
- Acquires new skills and knowledge through traditional and other means to meet assignment requirements; and/or
- Demonstration of ethics, integrity and accountability that achieve HHS and agency goals.

**Minimally Successful (MS):**

The employee had difficulties in meeting expectations. This is the minimum level of acceptable performance for retention on the job. Improvement is necessary. Examples include:

- Occasionally fails to meet assigned deadlines;
- Work assignments occasionally require major revisions or often require minor revisions;
- Application of technical knowledge to completion of work assignments is not reliable in many cases;
- Occasionally fails to adhere to required procedures, instructions, and/or formats in completing work assignments;
- Occasionally fails to adapt to changes in priorities, procedures or program direction; and/or
- The employee has minimal impact on program performance, productivity, morale, organizational effectiveness and/or customer satisfaction.

**Unacceptable (U):**

The employee failed to meet expectations. Immediate improvement is essential for job retention. Examples include:

- Consistently fails to meet assigned deadlines;
- Work assignments often require major revisions;
- Fails to apply adequate technical knowledge to completion of work assignments;
- Frequently fails to adhere to required procedures, instructions and/or formats in completing work assignments; and/or
- Frequently fails to adapt to changes in priorities, procedures or program direction.

HHS PERFORMANCE PLAN INSTRUCTIONS

Performance Plan

All elements of the performance plan are critical. Established requirements must support HHS goals and objectives.

All employees will be rated on the Administrative Requirements critical element (Part II.A. of the plan). In addition, the supervisor, with input from the employee, will develop and establish specific outcomes in support of Agency strategic initiatives to be included as critical elements in the Individual Performance Outcomes section (Part II.B. of the plan).

The performance plan should be signed and dated by the supervisor and the employee in Part I.A. prior to implementation.

Progress Review

Supervisors will conduct at least one progress review, at approximately the midpoint in the appraisal cycle. The supervisor must provide written documentation if performance on any element is less than Fully Successful. The supervisor and the employee should sign and date Part I.B. after a progress review is conducted. If the employee refuses to sign, the supervisor should annotate the form, "Employee declined to sign. Progress review conducted on [date]."

Performance Appraisal

The supervisor will assign a rating to each critical element (Administrative Requirements and the individual critical elements under the Individual Performance Outcomes). The rating level definitions will be assigned a numerical score as follows:

Exceptional:	5 points
Fully Successful:	3 points
Minimally Successful:	2 point
Unacceptable:	1 points

After rating and assigning a score to each critical element, the rating official will total the points and divide by the number of critical elements, to arrive at an average score (up to one decimal place). This score will be converted to a summary rating based on the following point values:

Exceptional:	4.4 to 5 points
Fully Successful:	3 to 4.3 points
Minimally Successful:	2 to 2.9 points
Unacceptable:	1 to 1.9 points

Exceptions to the mathematical formula:

- If an employee receives Minimally Successful on one or more critical elements, he/she cannot receive a summary rating of higher than Fully Successful, regardless of the average point score.
- A summary rating of Unacceptable will be assigned to any employee who is rated Unacceptable on any critical element.

If required by the OPDIV Head, the supervisor will submit the rating to the reviewing official for concurrence. The supervisor will conduct a performance discussion with the employee. The supervisor and employee should sign and date Part I.C. The employee will be provided with a copy of the complete final rating of record. If the employee refuses to sign, the supervisor should annotate the form, "Employee declined to sign. Rating discussed and copy provided on [date]."

A copy will be provided to the employee and the original forwarded to the designated individual within the OPDIV.



II. INDIVIDUAL PERFORMANCE OUTCOMES - CRITICAL ELEMENTS (continued from page 4, section II, part B)

Element 2.

Description:

II. INDIVIDUAL PERFORMANCE OUTCOMES - CRITICAL ELEMENTS (continued from page 4, section II, part B)

Element 1.

Description:

II. INDIVIDUAL PERFORMANCE OUTCOMES - CRITICAL ELEMENTS (continued from page 4, section II, part B)

Element 1.

Description:

II. INDIVIDUAL PERFORMANCE OUTCOMES - CRITICAL ELEMENTS (continued from page 4, section II, part B)

Element 1.

Description: